

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK----- x  
UNITED STATES OF AMERICA :- v. - :  
DAVID BERGSTEIN, : 16 Cr. 746 (PKC)Defendant. :  
----- xVerdict Form

COURT'S	
EXHIBIT NO. <u>23</u>	
IDENTIFICATION/EVIDENCE	
Dkt. # <u>16 CR 746</u>	
DATE: <u>3/1/2018</u>	

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DOCUMENT
<b>ELECTRONICALLY FILED</b>
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DATE FILED: <u>3/2/2018</u>

**Count One (Conspiracy to Commit Investment Advisor Fraud & Securities Fraud)** Guilty  Not Guilty**Count Two (Investment Advisor Fraud – WFF & P2 Fund)** Guilty  Not Guilty**Count Three (Investment Advisor Fraud – TT Portfolio)** Guilty  Not Guilty**Count Four (Securities Fraud – P2 Fund)** Guilty  Not Guilty**Count Five (Securities Fraud – TT Portfolio)** Guilty  Not Guilty**Count Six (Conspiracy to Commit Wire Fraud)** Guilty  Not Guilty

Count Seven (Wire Fraud)

Guilty  Not Guilty

03/01/2018  
Date

Foreperson

